



## THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	:	Lilip Lau, et al	)	Group Art Unit 3736
App. No.	:	10/242,016	)	
Filed	:	September 10, 2002	)	
For	:	DEVICE FOR TREATING HEART FAILURE	)	
			)	
			)	
			)	
			)	

INFORMATION DISCLOSURE STATEMENT

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed is form PTO-1449 listing references that are also enclosed. This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Applicants would also like to bring to the Examiner's attention copending U.S. Application No. 09/634,043, which is also owned by the Assignee of the above-captioned application. At the time of the invention of the above-captioned application, the inventors were under an obligation to assign the invention to the Assignee.

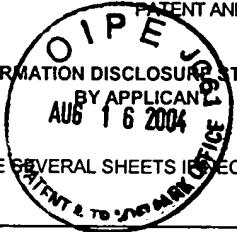
Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 12/27/02

By: Glen L. Nuttall

Glen L. Nuttall  
Registration No. 46,188  
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FORM PTO-1449  (USE GENERAL SHEETS IF NECESSARY)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. PARA.005A	APPLICATION NO. 10/242,016
	APPLICANT Liliip Lau, et al		
	FILING DATE September 10, 2002	GROUP 3736	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
1	2,826,193	03/11/58	Vineberg			
2	3,513,836	05/26/70	Sausse			
3	3,587,567	06/28/71	Schiff			
4	3,983,863	10/05/76	Janke, et al.			
5	4,306,318	12/22/81	Mano, et al.			
6	4,403,604	09/13/83	Wilkinson, et al.			
7	4,428,375	01/31/84	Ellman			
8	4,536,893	08/27/85	Parravicini			
9	4,690,134	09/01/87	Snyders			
10	4,827,932	05/09/89	Ideker, et al.			
11	4,936,857	06/26/90	Kulik			
12	4,976,730	12/11/90	Kwan-Gett			
13	5,131,905	07/21/92	Grooters			
14	5,383,840	01/24/95	Heilman, et al.			
15	5,558,617	09/24/96	Heilman, et al.			
16	5,603,337	02/18/97	Jarvik			
17	5,702,343	12/30/97	Alfernness			
18	5,713,954	02/03/98	Rosenberg, et al.			
19	5,800,528	09/01/98	Lederman, et al.			
20	5,848,962	12/15/98	Feindt, et al.			
21	5,957,977	09/28/99	Melvin			
22	5,961,440	10/05/99	Schweich, Jr. et al.			
23	6,076,013	06/13/00	Brennan, et al.			
24	6,077,214	06/20/00	Mortier, et al.			
25	6,077,218	06/20/00	Alfernness			
26	6,110,100	08/29/00	Talpade			
27	6,123,662	09/26/00	Alfernness, et al.			

EXAMINER	DATE CONSIDERED
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. PARA.005A	APPLICATION NO. 10/242,016
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Lilip Lau, et al	
		FILING DATE September 10, 2002	GROUP 3736

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
28	6,155,972	12/05/00	Nauertz, et al.			
29	US 6,174,279 B1	01/16/01	Girard			
30	US 6,264,602 B1	07/24/01	Mortier, et al.			
31	US 6,293,906 B1	09/25/01	Vanden Hoek, et al.			
32	US 6,360,749 B1	03/26/02	Jayaraman			
33	US 6,402,680 B2	06/11/02	Mortier, et al.			
34	US 6,425,856 B1	07/30/02	Shapland, et al.			
35	US 6,482,146 B1	11/19/02	Alferness, et al.			
36	US 2002/0032364	3/14/02	Lau, et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
37	WO 01/91667 A2	06/12/01	PCT				
38	SU 1009457 A	04/07/83					

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
39	Chiu, Ray C.-J., <i>Using Skeletal Muscle for Cardiac Assistance</i> , <i>Scientific American SCIENCE &amp; MEDICINE</i> , November/December 1994.	
40	David A. Kass, M.D., et al., <i>Reverse Remodeling From Cardiomyoplasty in Human Heart Failure</i> , <i>Circulation</i> , Volume 91, No. 9, May 1, 1995.	
41	Howard R. Levin, M.D., et al., <i>Reversal of Chronic Ventricular Dilation in Patients With End-Stage Cardiomyopathy by Prolonged Mechanical Unloading</i> , <i>Circulation</i> , Volume 91, No. 11, June 1995.	
42	Eli R. Capouya, M.D., et al, <i>GIRDLING EFFECT ON NONSTIMULATED CARDIOMYOPLASTY ON LEFT VENTRICULAR FUNCTION</i> , Society of Thoracic Surgeons, Pages 867-871, 1993.	

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EXAMINER	DATE CONSIDERED
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

PARA 0305A



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	:	Lilip Lau et al.	)	Group Art Unit 3736
			)	
App. No.	:	10/242,016	)	
			)	
Filed	:	September 10, 2002	)	
			)	
For	:	DEVICE FOR TREATING HEART FAILURE	)	
			)	
Examiner	:	Unknown	)	
			)	

SUPPLMENTAL INFORMATION DISCLOSURE STATEMENT

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed is form PTO-1449 listing references that are also enclosed. This Information Disclosure Statement is being filed before the mailing date of a final action under 37 C.F.R. § 1.113 and before the mailing date of a Notice of Allowance under § 1.311. A certification under 37 C.F.R. § 1.97(e) is set forth below. Thus, no fee is required as set forth below in 37 C.F.R. § 1.97(c).

CERTIFICATION UNDER 37 C.F.R. § 1.97(e)(1)

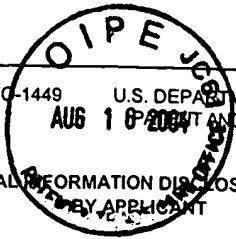
I hereby certify that each item of information contained in this Statement was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,  
KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 3/5/03

By: 

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE <b>AUG 18 2002</b> PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. PARA.005A	APPLICATION NO. 10/242,016
<b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b> <b>BY APPLICANT</b>		APPLICANT Lilip Lau et al.	
(USE SEVERAL SHEETS IF NECESSARY)		FILING DATE September 10, 2002	GROUP 3736

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	

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EXAMINER	DATE CONSIDERED
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\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

PARA.005A



PATENT

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	:	Lilip Lau, et al.	)	Group Art Unit 3736
App. No.	:	10/242,016	)	
Filed	:	December 27, 2002	)	
For	:	DEVICE FOR TREATING HEART FAILURE	)	
Examiner	:	Unknown	)	

INFORMATION DISCLOSURE STATEMENT

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed is form PTO-1449 listing five (5) references that are also enclosed. This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: \_\_\_\_\_

11/31/03

By: \_\_\_\_\_

  
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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. PARA.005A	APPLICATION NO. 10/242,016
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Lilip Lau, et al.	
(USE SEVERAL SHEETS IF NECESSARY)		FILING DATE September 10, 2002	GROUP 3736

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

**EXAMINER  
INITIAL**

**OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)**

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EXAMINER	DATE CONSIDERED
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